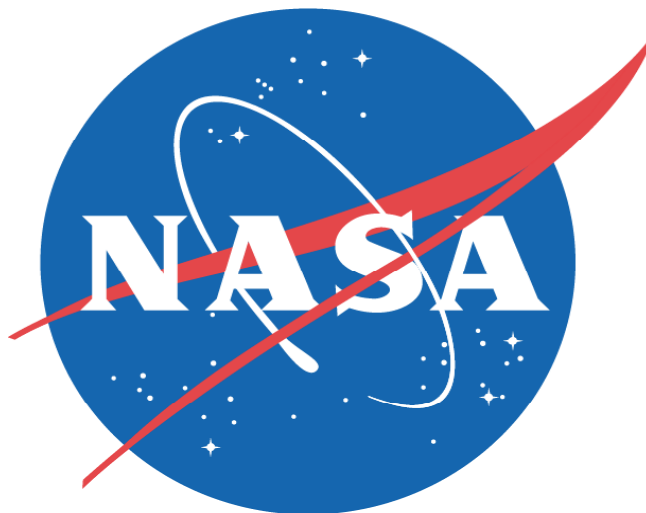


Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

Subject: Strategic Planning



**NASA Headquarters
Office of Space Science (OSS)**

Office Work Instruction

Strategic Planning

Approved by: (Original signed by Christopher J. Scolese)
Christopher J. Scolese
Deputy Associate Administrator for Space Science

Date: (02/06/2002)

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

Subject: Strategic Planning**DOCUMENT HISTORY LOG**

STATUS (BASELINE/ REVISION/ CANCELED)	DOCUMENT REVISION	EFFECTIVE DATE	DESCRIPTION
Baseline		02/01/1999	<ul style="list-style-type: none">Initial "baseline" version of the OWI.
Revision	A	05/10/1999	<ul style="list-style-type: none">Incorporates modifications responsive to NCRs #257 and #260 from the NASA HQ-internal ISO-9001 Round #2 audit and NCRs #279, #284, #289, #291, #293, #296, #302, #311, #312, #315, #317, and #321 from the NASA HQ ISO-9001 Pre-Assessment audit.
Revision	B	11/16/1999	<ul style="list-style-type: none">Adds GPRA to list of references in Section #4.Clarifies "review" and "approval" activities in Section #6.Incorporates recent terminology and format standardization.
Revision	C	02/06/2002	<ul style="list-style-type: none">Incorporates linkage with HQOWI7020-Z001A.Accommodates transfer of responsibility for issuance of NASA Strategic Plan from Code Z to Code B.Incorporates impact of OSS reorganization (effective 07/01/2001).Clarifies SSE E&PO involvement in SSE strategic-planning process.Describes SSE strategic-planning customer-satisfaction mechanisms and performance metrics in Section 2.Incorporates url's for referenced documents into Section 4.Establishes new process Steps #1, #8, #9, and #10 in Section 5 and Section 6.Clarifies specific functional roles of Action Officers in Section 5 and Section 6.Revises "footer" to indicate both "internal" and "external" web sites for NASA HQ ISO 9001 Documentation Master List.

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Subject: Strategic Planning

1. PURPOSE

The purpose of this Office Work Instruction (OWI) is to define the process by which the Office of Space Science (OSS) develops and promulgates the Space Science Enterprise (SSE) Strategic Plan. Elements of the SSE Strategic Plan are subsequently incorporated by Code B into the NASA Strategic Plan, required by the Government Performance and Results Act (GPRA) of 1993.

2. SCOPE AND APPLICABILITY

- 2.1 Preparation of the SSE Strategic Plan is the responsibility of the OSS Headquarters science management, working with the scientific guidance of the broad research community and under the programmatic guidance of the Associate Administrator for Space Science (AA), with coordinating support from the OSS Strategic and International Planning Director (SIPD). This OWI is applicable to all aspects of these activities.
- 2.2 SSE customer communication, feedback, and satisfaction mechanisms regarding its strategic-planning process:
 - 2.2.1 Space-science research community customers of the SSE Strategic Plan are directly involved in the process for its development and implementation. These customers include advisory panels [e.g., the Space Science Advisory Committee (SScAC) of the NASA Advisory Council (NAC) and the Space Studies Board (SSB) of the National Research Council (NRC)] and roadmapping working groups comprising representatives of the space-science research community (e.g., industry, education, and public-outreach sectors). The nature of the involvement of these customers is described in Section 6 of this OWI.
 - 2.2.2 The SSE also provides space-science support to and receives customer feedback via cognizant NASA Headquarters key-product owners and organizations (e.g., Code B, Code I, and Code L) with direct customer interface responsibilities (e.g., inputs to Congressional hearings and OMB narratives and responses to OMB passbacks and Congressional appropriations).
- 2.3 SSE strategic-planning process and product measurement goals are outlined in the SSE's section of the NASA (agency-level) Strategic Plan, the NASA GPRA Performance Plan, and the SSE Strategic Plan. SSE strategic-planning measurement analysis is captured in the SSE's section of the annual NASA GPRA Performance Report and via independent and self-assessments.

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3. DEFINITIONS

- 3.1 AA. Associate Administrator for Space Science.
- 3.2 Code A. NASA Headquarters Office of the Administrator.
- 3.3 Code B. NASA Headquarters Office of the Chief Financial Officer (CFO).
- 3.4 Code I. NASA Headquarters Office of External Relations.
- 3.5 Code L. NASA Headquarters Office of Legislative Affairs.
- 3.6 Code SB. OSS Policy and Business Management Office.
- 3.7 Code SE. OSS Solar System Exploration Division.
- 3.8 Code SP. OSS Resources Management Division.
- 3.9 Code SS. OSS Sun-Earth Connection Division.
- 3.10 Code SZ. OSS Astronomy and Physics Division.
- 3.11 Community. The broad space-science research community, including researchers at universities, NASA Centers, and in industry. In addition to informal consultation, formal communication with the community occurs through participation of community members on the SScAC, roadmapping teams, and entities of the NRC.
- 3.12 EDP. OSS Executive Director for Programs.
- 3.13 EDS. OSS Executive Director for Science.
- 3.14 E&POD. OSS Education and Public Outreach Director.
- 3.15 Farther-Term. The timeframe that begins 7 years after the publication date of the current SSE Strategic Plan.
- 3.16 GPRA. Government Performance and Results Act of 1993.
- 3.17 Near-Term. The timeframe that begins 2 years after the publication date of the current SSE Strategic Plan and extends through the following 5-year period.

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3. DEFINITIONS *(concluded)*

3.18 NRC. National Research Council.

3.19 OMB. Office of Management and Budget within the Executive office of the President of the United States.

3.20 OSS. NASA Headquarters Office of Space Science.

3.21 Roadmaps. Informal documents assembled by representatives of the research community that describe alternative future flight, research, and technology-development programs within their areas of competence.

3.22 SIPD. OSS Strategic and International Planning Director.

3.23 SSB. Space Studies Board of the NRC.

3.24 SScAC. Space Science Advisory Committee, which is the primary committee of the NASA Advisory Council with cognizance of activities of the OSS.

3.25 SSE. NASA Space Science Enterprise.

3.26 TD. OSS Technology Director.

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4. REFERENCES

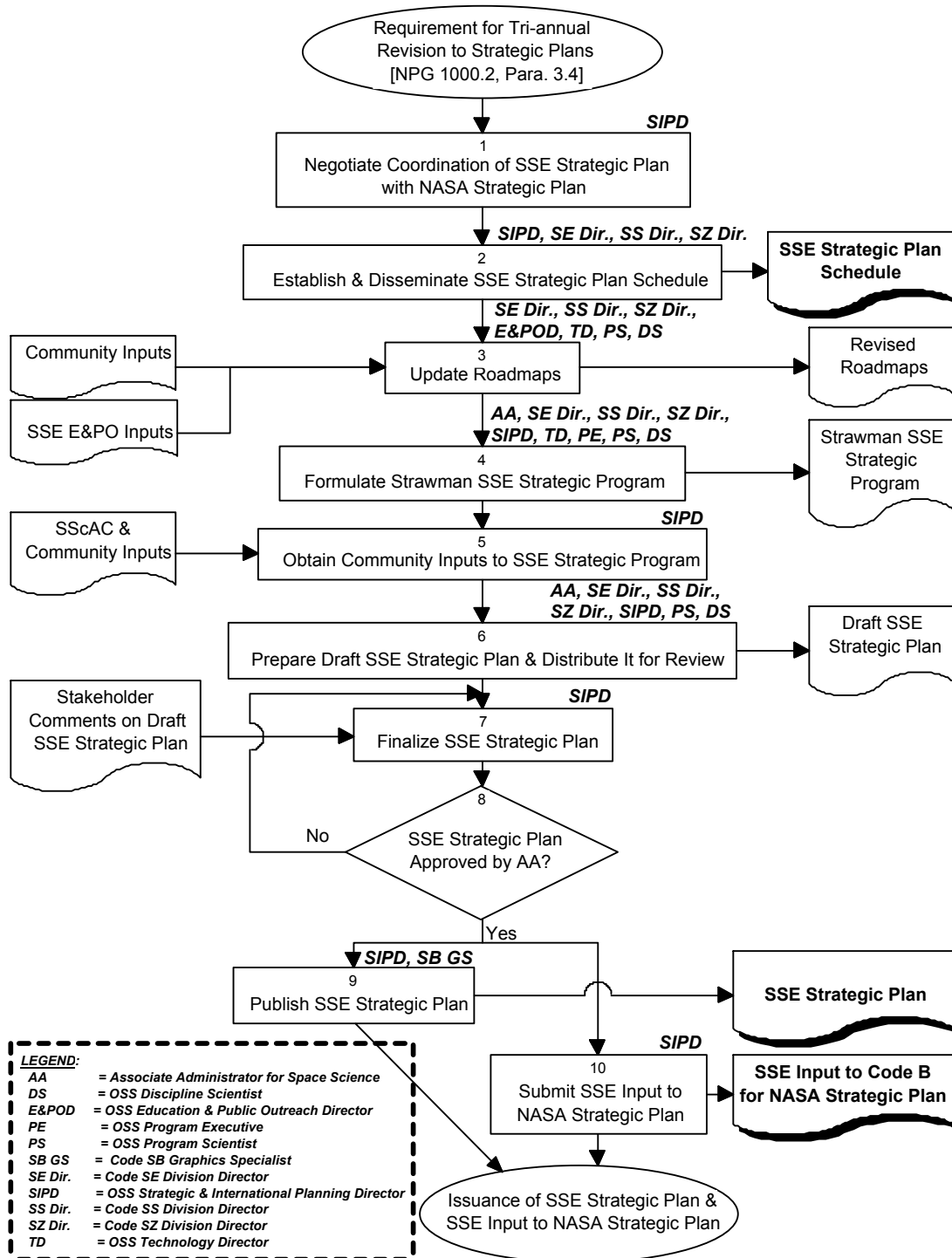
- 4.1 HQOWI7020-Z001 Preparation of Agency Strategic Plan
[\[http://www.hq.nasa.gov/hqiso9000/library/iso9000_level_3.html\]](http://www.hq.nasa.gov/hqiso9000/library/iso9000_level_3.html)
- 4.2 NPD 1000.1 NASA Strategic Plan
[\[http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1___\]](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1___)
- 4.3 NPG 1441.1 NASA Records Retention Schedules (NRRS)
[\[http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1___\]](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1___)
- 4.4 Government Performance and Results Act (GPRA) of 1993
- 4.5 Implementing the Office of Space Science Education/Public Outreach Strategy
[\[http://spacescience.nasa.gov/admin/pubs/edu/imp_plan.htm\]](http://spacescience.nasa.gov/admin/pubs/edu/imp_plan.htm)

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

Subject: Strategic Planning**5. FLOWCHART**

[NOTE #1: Process steps are numbered in accordance with their corresponding step numbers in Section 6.]

[NOTE #2: "Quality records" are identified via bold-text titles and shadowing of the border of their symbols.]



Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

Subject: Strategic Planning**6. PROCEDURE**

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
1	SIPD	Representing OSS senior management, the OSS Strategic and International Planning Director (SIPD) negotiates with the Code B Senior Advisor for Strategic Planning the schedule and format of the SSE input to the development of the agency-wide NASA Strategic Plan.
2	SIPD Code SE Director Code SS Director Code SZ Director	In accordance with agreements reached with the Code B Senior Advisor for Strategic Planning in Step #1 and in consultation with the Executive Secretary of the SScAC and the Directors of Code SE, Code SS, and Code SZ, the SIPD lays out a schedule for the development, review, and publication of the SSE Strategic Plan. After a detailed schedule (with milestones for partial completion) is established, the SIPD documents and disseminates it to: (1) the SScAC and its thematic sub-committees; (2) the Space Studies Board of the NRC; (3) OSS Program Executives, Program Scientists, and Discipline Scientists; and (4) Code SP Program Analysts.
3	Code SE Director Code SS Director Code SZ Director E&POD TD Program Scientists Discipline Scientists	In conformance to the overall schedule for the SSE Strategic Plan, the Directors of Code SE, Code SS, and Code SZ task the SScAC advisory sub-committees or establish ad hoc community working groups to evaluate existing theme roadmap documents in science and technology for necessary revisions or extensions. The OSS Education and Public Outreach Director (E&POD) supports the education and public-outreach components, the OSS Technology Director supports the technology components, and OSS Program Scientists and Discipline Scientists support the science components of this activity. These revisions and extensions include deleting obsolete data, updating near- and farther-term planning based on progress and new information, and extending the near- and farther-term plan by the amount of time elapsed since the previous roadmaps. Participants in the roadmapping process include not only community members but also industry representatives and individuals from the education and public-outreach sectors.

(continued)

Subject: Strategic Planning**6. PROCEDURE** *(continued)*

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
3 <i>(concluded)</i>	Code SE Director Code SS Director Code SZ Director TD Program Scientists Discipline Scientists	Information in the science components of the roadmaps focuses on proposed missions with science justification. Technology components present an analysis of key areas where technological advancement is needed to enable the proposed missions described in the science roadmaps. The roadmapping teams document the results of these thematic roadmapping activities in science and technology roadmap documents suitable for use in assessing and advocating alternative space-science program structures over the near- and farther-term.
4	AA Code SE Director Code SS Director Code SZ Director SIPD TD Program Executives Program Scientists Discipline Scientists	The Associate Administrator for Space Science and the Directors of Code SE, Code SS, and Code SZ (supported by the SIPD, TD, and OSS Program Executives, Program Scientists, and Discipline Scientists) assemble a strawman SSE Strategic Plan program profile consisting of operating missions, missions in development, and desired new starts for the near-term period. Key necessary technology initiatives are also identified. The resulting program is balanced and responsive to current NASA mission thrusts, technical feasibility, and likely resource availability. The SIPD and the Directors of Code SE, Code SS, and Code SZ analyze and refine the science goals and objectives lists.
5	SIPD	The SIPD briefs the resulting strawman SSE Strategic Plan to community representatives, including participants in the science and technology roadmapping activities. The SIPD obtains inputs for suggestions or elaborations. One option for implementing this step is to have a large workshop including NASA science and technology managers and roadmapping participants and other community members.

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

Subject: Strategic Planning**6. PROCEDURE** *(continued)*

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
6	AA Code SE Director Code SS Director Code SZ Director SIPD Program Scientists Discipline Scientists	In consultation with the Directors of Code SE, Code SS, and Code SZ and taking into account community inputs obtained in Step #5, the Associate Administrator for Space Science makes final program decisions that will be documented in the SSE Strategic Plan. The SIPD and OSS Program Scientists and Discipline Scientists prepare a draft SSE Strategic Plan for external review. Per the established schedule for SSE Strategic Plan development, the SIPD circulates this draft to the community and other stakeholders (including the SSAC and its sub-committees and the Space Studies Board) for comment.
7	SIPD	Taking into account inputs received from stakeholders in response to circulation of the draft SSE Strategic Plan, the SIPD revises the draft SSE Strategic Plan.
8		If the Associate Administrator for Space Science approves the finalized SSE Strategic Plan via signature contained within the master copy of the document (after consultation with the Directors of Code SE, Code SS, and Code SZ), proceed to Step #9 and Step #10. If the SSE Strategic Plan is not approved, the SIPD returns to Step #7 and incorporates revisions required by the Associate Administrator for Space Science.
9	SIPD Code SB Graphics Specialists	Working with Code SB graphics specialists, the SIPD compiles images and then interfaces with the NASA Headquarters print shop to produce final printed copies of the SSE Strategic Plan. The copies of the SSE Strategic Plan are broadly distributed to the community and other stakeholders, including Presidential Administration officials and Congressional members and staff.

Subject: Strategic Planning**6. PROCEDURE (concluded)**

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
10	SIPD	In accordance with agreements reached with the Code B Senior Advisor for Strategic Planning in Step #1, the SIPD coordinates the revised SSE Strategic Plan with development of revisions to the NASA Strategic Plan. This entails generating summary SSE information for incorporation into the revised NASA Strategic Plan. The SIPD addresses any issues identified by Code B regarding the SSE input, revises it to accommodate Code B comments, and resubmits it to Code B.

7. QUALITY RECORDS

RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA: ELECTRONIC OR HARDCOPY	NPG 1441.1 SCHEDULE NUMBER AND ITEM NUMBER	RETENTION/ DISPOSITION
SSE Strategic Plan Schedule	SIPD	SIPD office	Hardcopy	Schedule 7, Item 4B	Destroy 5 years after supersession or completion.
SSE Strategic Plan	SIPD	SIPD office	Hardcopy	Schedule 7, Item 4A	* Permanent * Retire to FRC 5 years after supersession or completion. Transfer to NARA when 10 years old.
SSE Input to Code B for NASA Strategic Plan	SIPD	SIPD office	Hardcopy	Schedule 7, Item 4B	Destroy 5 years after supersession or completion.

[NOTE #1: These "quality records" are identified in Section 5 ("Flowchart") of this OWI via bold-text titles and shadowing of the border of their symbols.]

[NOTE #2: In accordance with NPG 1441.1 NASA Records Retention Schedules, "... installations' office of primary responsibility will maintain one official record copy ...; reference copies may be maintained for related work". Therefore, the "Retention" and "Disposition" aspects of quality records apply only to the one official record copy of each quality record.]